

Docket No. 3986-4001

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

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APR 27 2001

Technology Center 2100

Applicant(s): Robert K. Samson

Group Art Unit: TBA

Serial No.: 09/766,277

Examiner: TBA

Filed: January 19, 2001

For: INVESTMENT GUIDANCE SYSTEM WHICH ENABLES INDIVIDUALS TO RATE  
AND SELECT ASSETS BASED ON PERSONAL INVESTMENT PREFERENCES

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
Washington, D.C. 20231

Sir:

Pursuant to Rule 56, applicant hereby calls the attention of the Patent Office to the references listed on the attached Form PTO 1449. Copy(ies) of these references ☒ are attached ☐ were filed in related application U.S. Serial No(s) 09/766,277, filed January 19, 2001, respectively.

- ☐ This document is being filed within three (3) months of the filing date of the application
- ☐ Please charge the \$180 fee to Deposit Account No. 13-4500, Order No. \_\_\_\_\_.
- ☐ This document is being concurrently filed with the above-identified application
- ☐ This document is being concurrently filed with an Request for Continued Examination (RCE)
- ☒ This document is being filed prior to a first Office Action
- ☐ This document is accompanied by a Search Report/Communication cited in a corresponding PCT or foreign counterpart application.
- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required for this Information Disclosure Statement, or credit any overpayment to Deposit Account No. 13-4500, Order No. 3986-4001. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.

Respectfully submitted,  
MORGAN & FINNEGAN, L.L.P.

Dated: April 23, 2001

By: John C. Vassil

John C. Vassil  
Registration No. 19,098

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PATENT

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**CERTIFICATE OF MAILING**

Commissioner of Patents  
Washington, DC 20231

Dear Sir:

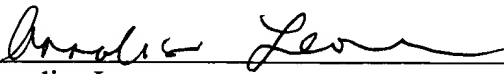
I hereby certify that the attached:

1. Information Disclosure Statement;
2. Information Disclosure Statement Form PTO-1449;
3. Nineteen (19) references; and
4. Return postcard.

(along with any paper(s) referred to as being attached or enclosed) and this Certificate of Mailing are being deposited with the United States Postal Service on the date shown below with sufficient postage as first-class mail in an envelope addressed to the: Commissioner of Patents, Washington, DC 20231.

Respectfully submitted,  
**MORGAN & FINNEGAN, L.L.P.**

Date: April 23, 2001

  
Annalisa Leone

**CORRESPONDENCE ADDRESS:**

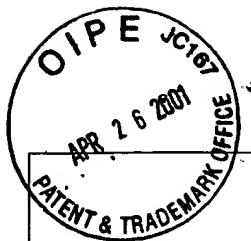
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FORM PTO-1449

**INFORMATION DISCLOSURE CITATION**

Attorney Docket:  
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Applicant:  
Robert K. Samson

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**U.S. PATENT DOCUMENTS**

| Examiner Initial | Patent Number | Issue Date | Name                | Class | Sub-Class | Filing Date |
|------------------|---------------|------------|---------------------|-------|-----------|-------------|
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|                  | 5,148,365     | 09/15/92   | Dembo               | 364   | 402       | 08/15/89    |
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| Examiner Initial | Patent Number | Issue Date | Country | Class | Sub-Class | Translation  |
|------------------|---------------|------------|---------|-------|-----------|--|
|                  |               |            |         |       |           | <input type="checkbox"/> Yes <input type="checkbox"/> No |
|                  |               |            |         |       |           | <input type="checkbox"/> Yes <input type="checkbox"/> No |
|                  |               |            |         |       |           | <input type="checkbox"/> Yes <input type="checkbox"/> No |
|                  |               |            |         |       |           | <input type="checkbox"/> Yes <input type="checkbox"/> No |
|                  |               |            |         |       |           | <input type="checkbox"/> Yes <input type="checkbox"/> No |
|                  |               |            |         |       |           | <input type="checkbox"/> Yes <input type="checkbox"/> No |

**OTHER DOCUMENTS (continued)**

|  |   |
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|  | Rominger, Terry. "Investment Basics, Part II: Modified Duration." CNBS Market Cast, June 1999, pp. 3  |

Examiner

Date Considered

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP §609.  
Draw line through citation if not in conformance and not considered.  
Include copy of this form with next communication to Applicant.